

# Energy Companies Obligation (ECO): Monitoring Regime for Affordable Warmth Group (AWG) Members

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## Overview:

This document sets out our requirements for implementing a monitoring regime to evidence Affordable Warmth Group status under the Energy Companies Obligation (ECO).

Evidencing Affordable Warmth Group eligibility is required for both the Home Heating Cost Reduction Obligation (HHCRO) and the rural sub-obligation under the Carbon Saving Community Obligation (CSCO). A monitoring regime is one of four ways in which suppliers can choose to meet this requirement (the other routes for evidence are laid out in paragraph 1.1 of this document).

ECO is a government energy efficiency scheme which places obligations on larger energy suppliers to deliver energy efficiency measures at domestic premises. ECO operates alongside the Green Deal.

Any queries regarding this regime should be directed to [eco@ofgem.gov.uk](mailto:eco@ofgem.gov.uk).

# Affordable Warmth Group Monitoring Regime

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## Introduction

- 1.1. For a measure to be credited towards HHCRO or the rural sub-obligation in CSCO, it must be delivered to a member of the Affordable Warmth Group (AWG). As explained in Chapter 7 of the Guidance, a supplier must be able to satisfy us that the person to whom the measure was delivered was a member of the AWG. A supplier can do this through:
  - a. an audit regime, developed and delivered by us; or
  - b. a monitoring regime, delivered by suppliers; or
  - c. producing a Warm Home Discount (WHD) Core Group Notice; or
  - d. providing a verified ESAS reference number.
- 1.2. Any measures which are evidenced through the production of a WHD Core Group Notice or which have been verified by DWP and hasan ESAS reference number will not be subject to either auditing or monitoring.
- 1.3. We are currently working with DWP and DECC to explore the possibility of evidencing AWG eligibility using a secure link between suppliers and DWP to verify benefit status.
- 1.4. This document outlines our requirements for how the second of the above options (an AWG monitoring regime) should be conducted.
- 1.5. Suppliers who decide to use a monitoring regime must contact us prior to implementing the regime to ensure all the requirements are met. This will include proposed timelines and categories of measures (see paragraph 1.12) which will be subject to monitoring. We will endeavour to approve timelines and chosen categories in a timely manner.
- 1.6. Where an installer is unsure whether a supplier has a monitoring regime in place or is unsure of any aspect of that monitoring regime or associated checklist they should contact the supplier directly.

## How monitoring should be undertaken

### Independence and competence of monitoring agents

- 1.7. Suppliers must be satisfied that monitoring is undertaken by an agent who is independent from the supplier, installer, or any other party involved in the installation of the measure (the monitoring agent). Suppliers are responsible for the quality of monitoring undertaken and accuracy of the results.
- 1.8. The contract between a supplier and a monitoring agent must not provide for 'payment by results'. In other words payment for the services of the monitoring agent must not be dependent on whether monitoring of a particular measure results in a 'pass' or 'fail'. The relevant sections of the contract evidencing this should be made available to us upon request.

### Timing of monitoring

- 1.9. Monitoring must take place after the completion of the measure. This can occur on the same day as completion<sup>1</sup>. This can be before or after the measure is notified to us. Monitoring may also be completed at the same time as monitoring of Householder status, or technical monitoring (providing the requirements for each regime are met).

### Defining the measures subject to a monitoring regime

- 1.10. If a supplier is planning to use a monitoring regime it must clearly define the time period and category of measures it will monitor. These categories of measures must be identifiable as fields detailed in the ECO Notification Data Dictionary<sup>2</sup>.
- 1.11. For example, categories which may be used include:
  - a. Obligation category (e.g. CSCO);
  - b. Measure type (e.g. Qualifying Boiler);
  - c. Delivery route (e.g. Measures bought through brokerage);
  - d. Postcode (the first one or two letters of the postcode, e.g. L or SW).

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<sup>1</sup> Refer to Chapter 9 of the ECO Guidance for Suppliers

<sup>2</sup> The ECO Notification Data Dictionary is available at: <https://www.ofgem.gov.uk/publications-and-updates/eco-notification-data-dictionary-v1.2>

- 1.12. Per quarter, suppliers may choose one or more categories to include in a monitoring regime. Once the supplier has selected categories for a particular quarter, it cannot then change to an audit regime during that quarter.

### Defining the monitoring sample

- 1.13. Before monitoring begins, a supplier must submit to the ECO inbox ([eco@ofgem.gov.uk](mailto:eco@ofgem.gov.uk)) a list of all AWG measures which will be subject to a monitoring regime in a defined period (see paragraph 1.10).
- 1.14. This list of measures can be sent to us in batches throughout the period; however the sum of these lists must encompass all AWG measures elected for monitoring in that period.
- 1.15. Each batch of measures received by us must be monitored at an initial rate which is statistically significant<sup>3</sup>, or 5% (whichever is lower) after the exclusion of 'no responses' (see paragraph 1.28 for more information on dealing with instances of no response). The measures chosen for monitoring make up the monitoring sample.
- 1.16. We will specify which measures from these lists will be subject to monitoring. We will do this by sorting the list of measures received from suppliers by postcode, or other criteria identified by us, and indicating the measure that will form the starting point for the monitoring sample. Monitoring must be conducted on each measure that follows the starting point, until the correct sample size of measures is monitored. A monitoring agent must not 'skip' a measure in a list. In other words, the agent must record a pass, fail or no response against each measure in the list – until the required sample size is monitored.
- 1.17. If any measures on the lists provided to monitoring agents are skipped (i.e. do not have a pass, fail or no response recorded against them) then we may determine that the monitoring regime has been inadequately conducted (see paragraph 1.39).

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<sup>3</sup> For information on calculating a significant sample refer to Annex A.

## The monitoring checklist

- 1.18. We have developed the *Energy Companies Obligation (ECO): Affordable Warmth Group (AWG) Monitoring Checklist*<sup>4</sup> (the checklist) to assist with monitoring AWG eligibility.
- 1.19. Suppliers must use the checklist prepared by us, unless we have confirmed that a supplier may do otherwise. Suppliers may adapt the format of the checklists to match their own systems, as long as the content is not changed.
- 1.20. We may require the completed checklists to be provided to us for the purposes of audit at any time before the end of 31 January 2016<sup>5</sup>.
- 1.21. The checklists must form the basis of the monitoring report of all monitoring undertaken in each quarter. The monitoring report will cover the full sample of measures monitored and should contain, at minimum, details of:
- a. The name and company of the monitoring agent;
  - b. The supplier and installer responsible for installing the measure;
  - c. The date of completion of the measure;
  - d. The date of monitoring;
  - e. The postcode for each measure monitored;
  - f. The measure reference number and measure type;
  - g. The number and percentage of passes and failures found by measure;
  - h. Reasons for all failures by measure;
  - i. Any other relevant information requested by us.
- 1.22. In addition to the details above, the summary report should provide the number of no responses found and the reasons for all no responses by measure.

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<sup>4</sup> The checklist is available [in Annex C of this document](#).

<sup>5</sup> Refer to Appendix 1 of the ECO Guidance for Suppliers: <https://www.ofgem.gov.uk/publications-and-updates/energy-companies-obligation-eco-guidance-suppliers-version-1.1a>

### What constitutes a pass?

- 1.23. Where, in relation to a measure, a monitoring agent sights the required documents for a category of AWG (as set out Annex B) then the measure should be recorded as a pass.
- 1.24. In any particular case where a monitoring agent sights documents – other than those set out in the checklist – which the agent believes evidence membership of a particular category of AWG then the agent may contact us to obtain our agreement that the documents do in fact evidence AWG membership. In this case, the measure will be recorded in the checklist as a pass. Where a pass is recorded on a checklist via this route, a supplier must be able to provide us with written evidence of our agreement.

### What constitutes a failure?

- 1.25. Where the monitoring agent is unable to sight documents that verify a person was a member of the AWG<sup>6</sup> the measure must be recorded on the monitoring checklist as a fail. This includes cases where the monitoring agent is unable to sight documents for the following reasons:
- a. The consumer is unwilling or unable to produce relevant documentation that evidences AWG;
  - b. The consumer has refused to agree to a monitoring visit.
- 1.26. Where a measure is recorded as a fail we will ask the supplier to prove AWG status by some other means. If the supplier is unable to provide information that satisfies us that a measure was delivered to a member of the AWG, we will be unable to determine that the measure is a qualifying action that can be credited against CSCO or HHCRO (as applicable) and will not attribute cost or carbon savings to that measure.
- 1.27. Where monitoring results show that a particular percentage of the measures within a monitoring sample produce a fail (as defined in paragraph 1.25) then the supplier will be required to complete further monitoring (as described in paragraphs 1.32 to 1.37).

### Dealing with no responses

- 1.28. A no response should be recorded in the following circumstance:
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<sup>6</sup> For a list of documents that evidence AWG please refer Annex B.

*Where there is no response from the AWG member to any attempted communication from the monitoring agent.*

- 1.29. No responses do not form part of the monitoring sample. However, as noted above, all instances of no responses must be reported to us by the monitoring agent.

### Interaction with AWG members

- 1.30. To reduce the risk of failure, we suggest that suppliers inform the AWG member at the time of installation that monitoring may take place at a later date which will require an independent monitoring agent to sight documents which demonstrate eligibility<sup>7</sup>.

## Monitoring results

### Monitoring reports

- 1.31. We require the results of monitoring to be reported to us on a quarterly basis, from the start date of monitoring as agreed with us (See paragraph 1.5). The monitoring reports should be submitted to us within one month of the end of each quarter.

### Fail rates

- 1.32. If the number of failures in a quarter does not exceed 5% of the monitoring sample (the failure threshold) then no extra monitoring will be required on the AWG measures completed in that quarter.
- 1.33. If the failure rate exceeds the 5% failure threshold, additional monitoring must be undertaken on the measures completed in that quarter. This additional monitoring will initially mean the sample size to be monitored must increase to 10% of the total of measures for that quarter.
- 1.34. If failures continue to exceed the 5% failure threshold the monitoring sample must be increased in 10% increments to a maximum of 100% for that quarter.

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<sup>7</sup>For more information on how to ensure availability refer to Chapter 7 of the ECO Guidance for Suppliers.

- 1.35. Suppliers should only provide a single report with the single failure rate for each quarter. They do not need to disaggregate the failure rates for each increment monitored.
- 1.36. Any escalation in monitoring rates during a quarter does not carry over into the next quarter. Each monitoring quarter must be sampled at an initial rate which is statistically significant<sup>8</sup>, or 5% (whichever is lower), after the exclusion of no responses.
- 1.37. If monitoring results indicate what we regard to be significant rates of failure against measures with a particular characteristic (e.g. measures delivered within a particular area or by a particular installer), we may require additional monitoring of those measures – even though the overall rate of failure for the monitoring sample may be less than 5%.

### Auditing of monitoring processes

- 1.38. We may audit the processes, or conduct of, an AWG monitoring regime. For the purpose of audit, a supplier must be able to produce any relevant documents (for example the checklists and contractual agreement between the supplier and monitoring agents). This audit will not require suppliers to produce copies of documents the checklist is based on (i.e. benefit documents).
- 1.39. If we have reasonable grounds to believe that monitoring has been conducted in a way that undermines the reliability of the results of monitoring then we may:
  - a. withdraw our agreement for the supplier to use an AWG monitoring regime in the future;
  - b. require further monitoring against any list of measures that were previously monitored (regardless of whether the earlier monitoring established a rate of failure of 5% or more).
- 1.40. As noted above, no audit of consumer AWG benefit documents will be conducted.

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<sup>8</sup> For information on calculating a significant sample refer to Annex A.



## **The Data Protection Act 1998**

- 1.41. It is the responsibility of a supplier to ensure that its AWG monitoring regime meets the requirements of the Data Protection Act 1998.

## Annex A: Calculating the Monitoring Sample Size

### Overview

1.42. As detailed in paragraph 1.15 above, each batch of measures received by us must be monitored at an initial rate which is statistically significant, or 5% (whichever is lower).

### Calculating your sample

1.43. The below equations should be used to determine the initial sample for monitoring:

- a. 5% sample = [Population Size]\*0.05
- b. Statistically Significant Sample (SSS) =  $1824.76 / (1 + (1824.76 / [\text{Population Size}]))^2$ . This is based on a confidence level of 95% (with corresponding z score of 1.96) and confidence interval of 1 with an expected failure rate of no more than 5%. This is widely accepted as a reasonable level of statistical significance.

### Standard Sample Sizes

1.44. Table 1 gives pre-calculated sample size for both statistically significant samples (SSS) and 5%.

Population	SSS	5%
100	95	5
500	392	25
1,000	646	50
5,000	1,337	250
10,000	1,543	500
50,000	1,760	2,500

Table 1: Pre-calculated samples

\*Formula:  $(Z^2 * P * (1 - P)) / C^2 = 1824.76$

Confidence Interval = 0.01

Z score (95% confidence level) of 1.96

P (failure rate) of 5%

## Annex B: Eligible Documents for each AWG Benefit Type

### Overview

For AWG benefits, only official HMRC or DWP (including Jobcentre Plus and The Pension Service as relevant) documents are deemed acceptable. Any other documents used must have been agreed in writing by us before monitoring confirming alternative documents are eligible.

All documents evidencing AWG eligibility status must be dated within 18 months prior to the completion of the measure. Where the documents are older, updated evidence must be made available. The relevant documents are detailed in each section below.

#### SECTION A: General information

For more on the general information to be provided by the monitoring agent please refer to Section A of the checklist in Appendix C.

#### **SECTION B: Child Tax Credit**

##### ***One of the following:***

- A HMRC Child Tax Credit, Working Tax Credit or Tax Credit award notice, or an amended or annual review notice confirming receipt of a Child Tax Credit and stating that the relevant income is under £15,860

***or***

- A HMRC or DWP/Jobcentre Plus 'proof of benefit' letter confirming receipt of the Child Tax Credit and that the AWG member's relevant income is under £15,860

##### ***If the above award letter is dated more than 18 months prior to the completion of the ECO measure, it must be accompanied by:***

- An annual review notice from HMRC, an amended notice from HMRC or a 'proof of benefit' letter from DWP/Jobcentre Plus, dated within 18 months before the completion of the ECO measure. In the case of an annual review letter that does not state the relevant income, a review letter dated within 18 months and the most recent award/entitlement letter confirming relevant income.

*NB: The presence of a means tested benefit on a Child Tax Credit award notice, which does not state the relevant income, may still be used as evidence of eligibility under section C,D and E below.*

**SECTIONS C, D and E:**

- **Income-Related Employment and Support Allowance (ESA)**
- **Income-Based Job Seeker's Allowance (JSA)**
- **Income Support (IS)**

***One of the following documents:***

- Benefit entitlement letter from DWP/Jobcentre Plus confirming receipt of one of the above stated benefits;

***or***

- A Tax Credit, Working Tax Credit or Child Tax Credit, or an amended or annual review notice confirming receipt of one of the above stated benefits;

***or***

- A DWP/Jobcentre Plus 'proof of benefit' letter confirming receipt of one of the above stated benefits.

***The above document(s) must be accompanied by proof of one of the following:***

- a. The benefit recipient is responsible for a qualifying child<sup>9</sup> under the age of 16 who resides with them; or between 16-20yrs who resides with them and is in full time education or approved training; ***or***
- b. The benefit recipient receives Child Tax Credit with a disability or severe disability element; ***or***
- c. The benefit recipient receives a disabled child premium; ***or***
- d. The benefit recipient receives a pensioner premium; a higher pensioner premium; or an enhanced pensioner premium; ***or***
- e. The benefit recipient receives a disability premium; an enhanced disability premium/disability income guarantee; or a severe disability premium.
- f. ***For Income-Related Employment and Support Allowance only: The benefit recipient receives*** a work related activity or support component.

***If the above award letter is dated more than 18 months before the completion of the ECO measure, it must be accompanied by:***

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<sup>9</sup> A Child Tax Credit or Child Benefit can also be used to evidence "Qualifying Child".

- **An annual review notice from HMRC or DWP, or a 'proof of benefit' letter from DWP/Jobcentre Plus, dated within 18 months before the completion of the ECO measure. This must indicate that the AWG member's circumstances have not changed.**

#### **SECTION F: State Pension Credit**

##### ***One of the following documents:***

- Pension Credit award notice from DWP/The Pension Service confirming receipt State Pension Credit

***or***

- Warm Home Discount (WHD) core group 'matched' notice from HM Government. The reference number on this notice should start with 'M' or 'DM'.

##### ***If the above award letter is dated more than 18 months before the completion of the ECO measure, it must be accompanied by:***

- A 'proof of benefit' letter from DWP/Jobcentre Plus/The Pension Service dated within 18 months before the completion of the ECO measure

#### **SECTION G – Working Tax Credit**

##### ***One of the following documents:***

- A HMRC Working Tax Credit or Tax Credit award notice, or an amended or annual review notice confirming receipt of a Working Tax Credit and stating that the relevant income is under £15,860

***or***

- A HMRC or DWP/Jobcentre Plus 'proof of benefit' letter confirming receipt of Working Tax Credit stating that the AWG member's relevant income is under £15,860.

##### ***The above document(s) must be accompanied by evidence of one of the following:***

- a. The benefit recipient has responsibility<sup>10</sup> for a qualifying child under the age of 16 who resides with them; or between 16-20yrs who resides and is in full time education or approved training; ***or***

- b. The benefit recipient receives a disability element or severe disability element; **or**
- c. The benefit recipient is aged 60 years or over (if this is not present on the above documents, other valid proof of age can also be accepted<sup>11</sup>).

***If the above document is dated more than 18 months before the completion of the ECO measure, it must be accompanied by:***

An annual review notice from HMRC or a 'proof of benefit' letter from DWP/Jobcentre Plus dated within 18 months before the completion of the ECO measure. In the case of an annual review letter that does not state the relevant income, a review letter dated within 18 months and the most recent award/entitlement letter confirming relevant income.

## **SECTION H: Universal Credit**

***The following document:***

- Confirmation of receipt of Universal Credit through a DWP Universal Award notification from DWP, showing that the recipient has had a net earned income that does not exceed £1,167 in any one of the twelve months (before the point at which they are assessed as AWG eligible).

***The above document(s) must be accompanied by evidence of one of the following:***

- The benefit recipient has responsibility for a child or qualifying young person (a child or disabled child element on the Universal Credit notice); **or**
- The benefit recipient has limited capacity for work, or limited capacity for work and work-related activity (a limited capacity for work element, or limited capacity for work and work-related activity element, on the Universal Credit notice; or is paid a carer's element and can provide another DWP notification which confirms underlying entitlement to a limited capacity for work element, or limited capacity for work and work-related activity element);
- The benefit recipient is in receipt of disability living allowance; **or**
- The benefit recipient is in receipt of personal independence payment.

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<sup>11</sup> Eligible as proof of age: driving licence, passport, birth certificate.

## Annex C: Affordable Warmth Group: A Checklist for Monitoring Agents

### What is the checklist for?

This checklist helps monitoring agents<sup>12</sup> carry out checks under the Energy Companies Obligation (ECO). Detailed information on the requirements of ECO is in our guidance document<sup>13</sup>, *Energy Companies Obligation (ECO): Guidance for Suppliers (version 1.1)*.

### Completing the checklist

The information in the checklist will form the basis of our decision on whether the consumer is a member of the Affordable Warmth Group (AWG) for the purposes of ECO.

You should make sure that you:

- ✓ Complete all relevant sections
- ✓ Sign and date the checklist
- ✓ Record which eligible documents you have seen
- ✓ Record which criteria have been met from seeing the correct documentation
- ✓ Record whether the monitoring resulted in a 'pass' or 'fail', or alternatively record instances where you have been unable to contact the consumer.

### Layout of the checklist

Section A of the checklist comprises all the general information you need to take for every measure. Every section must be completed.

Sections B to H focus on the eligible<sup>14</sup> AWG benefit categories (sections B-H). For a pass to be recorded in section K, you must fully complete one of these sections.

Only record information that can be identified on one of the eligible documents<sup>15</sup> stated. If alternative documentation exists which proves the receipt of any given benefit or credit status (from either DWP or HMRC as applicable) the supplier must have gained written agreement from us confirming this documentation is eligible. If the document is not one of the eligible documents in the checklist and we have not provided written agreement, you should classify that measure as a fail.

Any alternative documentation agreed as being eligible by us will be added to the eligible documentation list which supports the AWG checklist on our website.

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<sup>12</sup> Refer to paragraph 1.7 of the AWG Monitoring Regime.

<sup>13</sup> Energy Companies Obligation (ECO): Guidance for Suppliers:

<https://www.ofgem.gov.uk/ofgem-publications/88469/energycompaniesobligationecoguidanceforsuppliersversion1.1a.pdf>

<sup>14</sup> For more information on AWG eligibility refer to Schedule 1 to The Electricity and Gas (Energy Companies Obligation) Order 2012:

<http://www.legislation.gov.uk/ukdsi/2012/9780111525456/contents>

<sup>15</sup> Refer to Annex B of the Affordable Warmth Group Monitoring Regime.

Section I should be completed if you are unable to contact the consumer.

Section J should be completed if you are unable to see the required documentation as detailed in sections B-H. This must be recorded as a fail.

### **Accuracy of the checklist**

It is important to note that you are responsible for seeing and recording the consumer's official benefit documentation as detailed in the checklist and record a 'pass' or 'fail' based on this. By signing the checklist you are declaring that all information provided is accurate and correct.

### **Audit**

We may audit AWG monitoring. For this reason you should keep a copy of the checklist.

Please note that we won't ask you to produce copies of the AWG documents the checklist is based on (such as benefits documents).

If, following an audit, we have reasonable grounds to believe that monitoring has been conducted in a way that undermines the reliability of monitoring results we may:

- Withdraw our agreement for the supplier to use an AWG monitoring regime in the future; or
- Require further monitoring against any list of measures that were previously monitored (regardless of the failure rate).



## Affordable Warmth Group: A Checklist for Monitoring Agents

### **SECTION A: GENERAL INFORMATION**

#### **A1. Property details - please complete the following details**

Postcode	Visit date
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#### **A2. Monitoring information**

Monitoring company	
Supplier responsible for measure	

#### **A3. Measure information – please complete for every measure being monitored at the property. (If necessary use an extra sheet of paper.)**

	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Measure reference(s)				
Measure type(s)				
Installer(s) of measure				
Date of completion of measure(s)				

#### **A4. If you have been unable to contact the AWG consumer, go to section H.**

#### **5. Which of the following benefits is the consumer in receipt of? (Select at least one option)**

Only one benefit section needs to be completed however all relevant criteria for that benefit must be seen and detailed in the sub-sections for that benefit and result in a PASS.

<b>TICK ONE</b>	<b>Benefit type</b>	<b>Next steps</b>
<input type="checkbox"/>	Child Tax Credit	<b>GO TO SECTION B</b>
<input type="checkbox"/>	Income-related employment and support allowance	<b>GO TO SECTION C</b>
<input type="checkbox"/>	Income-based Jobseeker's allowance	<b>GO TO SECTION D</b>
<input type="checkbox"/>	Income support	<b>GO TO SECTION E</b>
<input type="checkbox"/>	State pension credit	<b>GO TO SECTION F</b>
<input type="checkbox"/>	Working Tax Credit	<b>GO TO SECTION G</b>
<input type="checkbox"/>	Universal Credit	<b>GO TO SECTION H</b>
<input type="checkbox"/>	None of the above	<b>GO TO SECTION J</b>

**SECTION B – CHILD TAX CREDIT**

<b>B1.I have seen the following document which states the consumer receives Child Tax Credit: (select at least one option)</b>			
<b>TICK ONE</b>	<b>Document sighted</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A HMRC Child Tax Credit, Working Tax Credit or Tax Credit award notice, or an amended or annual review notice confirming receipt of a Child Tax Credit		<b>GO TO SECTION B2</b>
<input type="checkbox"/>	A HMRC or DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION B2</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name): _____		<b>GO TO SECTION B2</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

<b>B2. Is the document selected in question B1 above dated more than 18 months before the date of the completion of the measure? (Select one)</b>		
<b>TICK ONE</b>	<b>Answer</b>	<b>Next steps</b>
<input type="checkbox"/>	Yes	<b>GO TO SECTION B3</b>
<input type="checkbox"/>	No	<b>GO TO SECTION B4</b>

<b>B3. I have seen the following document confirming continued receipt of Child Tax Credit, dated within 18 months of completion of the measure: (select at least one option)</b>			
<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	An annual review or amended notice from HMRC		<b>GO TO SECTION B4</b>
<input type="checkbox"/>	A HMRC or DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION B4</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name): _____		<b>GO TO SECTION B4</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

**B4. Income – I have seen the consumer’s income on the benefit documentation, which is: (select at least one option)**

<b>TICK ONE</b>	<b>Income stated on CTC</b>	<b>Next steps</b>
<input type="checkbox"/>	Below or equal to £15,860	<b>GO TO SECTION K</b>
<input type="checkbox"/>	Above or equal to £15,861	<b>GO TO SECTION J</b>
<input type="checkbox"/>	Unable to sight income on documentation	<b>GO TO SECTION J</b>

**SECTION C – INCOME-RELATED EMPLOYMENT AND SUPPORT ALLOWANCE**

**C1. I have seen the following document stating the consumer receives Income-Related Employment and Support Allowance: (select at least one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A DWP/Jobcentre Plus benefit entitlement letter		<b>GO TO SECTION C2</b>
<input type="checkbox"/>	A Tax Credit, Working Tax Credit or Child Tax Credit award notice, or an amended or annual review Tax Credit notice confirming receipt of benefit		<b>GO TO SECTION C2</b>
<input type="checkbox"/>	A DWP/Jobcentre Plus ‘proof of benefit’ letter		<b>GO TO SECTION C2</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name): _____		<b>GO TO SECTION C2</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

**C2. Is the document selected in C1 above dated more than 18 months before the date of the completion of the measure? (Select one)**

<b>TICK ONE</b>	<b>Answer</b>	<b>Next steps</b>
<input type="checkbox"/>	Yes	<b>GO TO SECTION C3</b>
<input type="checkbox"/>	No	<b>GO TO SECTION C4</b>

**C3. I have seen the following document confirming continued receipt of Income-Related Employment and Support Allowance, dated within 18 months of completion of the measure: (select at least one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION C4</b>
<input type="checkbox"/>	An annual review notice from HMRC or DWP		<b>GO TO SECTION C4</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name): _____		<b>GO TO SECTION C4</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

**C4. I have seen proof of the following eligibility criteria on the consumer's documentation: (select at least one option)**

<b>TICK ONE</b>	<b>Evidence of at least one of the following must be seen in order to be classified as a pass.</b>	<b>Next steps</b>
<input type="checkbox"/>	The benefit recipient is responsible for a qualifying child under the age of 16 who resides with them; or between 16-20yrs who resides with them and is in full time education or approved training	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives Child Tax Credit which includes a disability or severe disability element	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a work-related activity or support component	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a disabled child premium or a severe disabled child element	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a pensioner premium; an higher pensioner premium; or an enhanced pensioner premium	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a disability premium; an enhanced disability premium / disability income guarantee; or a severe disability premium	<b>GO TO SECTION K</b>
<input type="checkbox"/>	None of the above have been seen	<b>GO TO SECTION J</b>

**SECTION D - INCOME-BASED JOBSEEKER'S ALLOWANCE**

<b>D1. I have seen the following document stating the consumer receives Income-Based Jobseeker's Allowance: (select at least one option)</b>			
<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Benefit entitlement letter confirming receipt of Income-Based Jobseeker's Allowance		<b>GO TO SECTION D2</b>
<input type="checkbox"/>	A Tax Credit or Child Tax Credit award notice, or an amended or annual review notice confirming receipt of Income-Based Jobseeker's Allowance		<b>GO TO SECTION D2</b>
<input type="checkbox"/>	A DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION D2</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name): _____		<b>GO TO SECTION D2</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

<b>D2. Is the document selected in D1 above dated more than 18 months before the date of the completion of the measure? (Select one)</b>		
<b>TICK ONE</b>	<b>Answer</b>	<b>Next steps</b>
<input type="checkbox"/>	Yes	<b>GO TO SECTION D3</b>
<input type="checkbox"/>	No	<b>GO TO SECTION D4</b>

<b>D3. I have seen the following document confirming continued receipt of Income-Based JobSeeker's Allowance, dated within 18 months of completion of the measure: (select at least one option)</b>			
<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION D4</b>
<input type="checkbox"/>	An annual review notice from HMRC or DWP		<b>GO TO SECTION D4</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO SECTION D4</b>

	_____	
<input type="checkbox"/>	None of the above have been seen	<b>GO TO SECTION J</b>

**D4. I have seen proof of the following eligibility criteria on the consumer's documentation: (select at least one option)**

<b>TICK ONE</b>	<b>Evidence of at least one of the following must be seen in order to be classified as a pass.</b>	<b>Next steps</b>
<input type="checkbox"/>	The benefit recipient is responsible for a qualifying child under the age of 16 who resides with them; or between 16-20yrs who resides with them and is in full time education or approved training;	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives child tax credit with a disability or severe disability element	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a disabled child premium	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a pensioner premium; an higher pensioner premium; or an enhanced pensioner premium	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a disability premium; an enhanced disability premium / disability income guarantee; or a severe disability premium	<b>GO TO SECTION K</b>
<input type="checkbox"/>	None of the above have been seen	<b>GO TO SECTION J</b>

**SECTION E - INCOME SUPPORT**

**E1. I have seen the following document stating the consumer receives Income Support: (select at least one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A benefit entitlement letter confirming receipt of Income Support		<b>GO TO SECTION E2</b>
<input type="checkbox"/>	A Tax Credit or Child Tax Credit award notice, or an amended or annual review tax credit notice confirming receipt of Income Support		<b>GO TO SECTION E2</b>
<input type="checkbox"/>	A DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION E2</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name): _____		<b>GO TO SECTION E2</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO</b>

	<b>SECTION J</b>
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<b>E2. Is the document selected in E1 above dated more than 18 months before the date of completion of the measure? (Select one)</b>		
<b>TICK ONE</b>	<b>Answer</b>	<b>Next steps</b>
<input type="checkbox"/>	Yes	<b>GO TO SECTION E3</b>
<input type="checkbox"/>	No	<b>GO TO SECTION E4</b>

<b>E3. I have seen the following document confirming continued receipt of Income Support, dated within 18 months of completion of the measure: (select at least one option)</b>			
<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	An annual review notice from HMRC or DWP		<b>GO TO SECTION E4</b>
<input type="checkbox"/>	A DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION E4</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name)  _____		<b>GO TO SECTION E4</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

<b>E4. I have seen proof of the following eligibility criteria on the consumer's documentation: (select at least one option)</b>		
<b>TICK ONE</b>	<b>Evidence of at least one of the following must be seen in order to be classified as a pass.</b>	<b>Next steps</b>
<input type="checkbox"/>	The benefit recipient is responsible for a qualifying child under the age of 16 who resides with them; or between 16-20yrs who resides with them and is in full time education or approved training;	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient received Child Tax Credit with a disability or severe disability element	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a disabled child premium	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a pensioner premium; an higher pensioner premium; or an enhanced pensioner premium	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a disability premium; an enhanced disability premium / disability income	<b>GO TO SECTION K</b>

	guarantee; or a severe disability premium	
<input type="checkbox"/>	None of the above have been seen	<b>GO TO SECTION J</b>

**SECTION F - STATE PENSION CREDIT**

**F1. I have seen the following document stating the consumer receives State Pension Credit: (select at least one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A Pension Credit award notice from DWP/The Pension service confirming receipt of Pension Credit		<b>GO TO SECTION F2</b>
<input type="checkbox"/>	A DWP/Jobcentre Plus/ The Pension Service 'proof of benefit' letter		<b>GO TO SECTION F2</b>
<input type="checkbox"/>	A DWP Warm Home Discount (WHD) 'matched' core group notice		<b>GO TO SECTION F2</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name) _____		<b>GO TO SECTION F2</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

**F2. Is the document selected in F1 above dated more than 18 months before the date of the completion of the measure? (Select one)**

<b>TICK ONE</b>		<b>Next steps</b>
<input type="checkbox"/>	Yes	<b>GO TO SECTION F3</b>
<input type="checkbox"/>	No	<b>GO TO SECTION I</b>

**F3. I have seen the following document confirming continued receipt of State Pension Credit, dated within the 18 months prior to completion of the measure: (select at least one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A DWP/ Jobcentre Plus/ The Pension Service 'proof of benefit' letter		<b>GO TO SECTION K</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name) _____ _____		<b>GO TO SECTION K</b>



<input type="checkbox"/>	None of the above have been seen	<b>GO TO SECTION J</b>	

**SECTION G - WORKING TAX CREDIT**

**G1. I have seen the following document stating the consumer receives Working Tax Credit: (select at least one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	HMRC Working Tax Credit or Tax Credit award notice or amended notice confirming receipt of a Working Tax Credit		<b>GO TO SECTION G2</b>
<input type="checkbox"/>	A HMRC or DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION G2</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name) _____		<b>GO TO SECTION G2</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

**G2. Is the document selected in question G1 above dated more than 18 months before the date of the completion of the measure? (Select one)**

<b>TICK ONE</b>		<b>Next steps</b>
<input type="checkbox"/>	Yes	<b>GO TO SECTION G3</b>
<input type="checkbox"/>	No	<b>GO TO SECTION G4</b>

**G3. I have seen the following document confirming continued receipt of Working Tax Credit, dated within 18 months of completion of the measure: (select at least one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Annual review notice from HMRC		<b>GO TO SECTION G4</b>
<input type="checkbox"/>	A HMRC/DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION G4</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name) _____ _____		<b>GO TO SECTION G4</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

<b>G4. I have seen the consumer's income on the benefit documentation, which is: (select at least one option)</b>		
<b>TICK ONE</b>	<b>Income stated on CTC</b>	<b>Next steps</b>
<input type="checkbox"/>	Below or equal to £15,860	<b>GO TO SECTION G5</b>
<input type="checkbox"/>	Above or equal to £15,861	<b>GO TO SECTION J</b>
<input type="checkbox"/>	Unable to sight income on documentation	<b>GO TO SECTION J</b>

<b>G5. I have seen proof of the following eligibility criteria on the consumer's documentation: (select at least one option)</b>		
<b>TICK ONE</b>	<b>Evidence of at least one of the following must be seen in order to be classified as a pass.</b>	<b>Next steps</b>
<input type="checkbox"/>	The benefit recipient is responsible for a qualifying child under the age of 16 who resides with them; or between 16-20yrs who resides with them and is in full time education or approved training;	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient receives a disabled element or a severe disability element	<b>GO TO SECTION K</b>
<input type="checkbox"/>	The benefit recipient is 60 years of over (valid photo I.D. is acceptable if date of birth not on benefit notice)	<b>GO TO SECTION K</b>
<input type="checkbox"/>	None of the above have been seen	<b>GO TO SECTION J</b>

## **SECTION H – Universal Credit**

**H1. I have seen Universal Credit Award notice stating the consumer receives Universal Credit and has had a monthly net income that does not exceed £1,167 for any one of the last 12 months: (select at one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Yes		<b>GO TO SECTION H2</b>
<input type="checkbox"/>	No		<b>GO TO SECTION J</b>

**H2. I have seen proof of the following eligibility criteria on the consumer's documentation: (select at least one option)**

<b>TICK ONE</b>	<b>Evidence of at least one of the following must be seen in order to be classified as a pass.</b>	<b>Next steps</b>
<input type="checkbox"/>	Responsibility for a child or qualifying young person – detailed on a <b>Universal Credit Award notice as 'child' or 'disabled child'</b>	<b>GO TO SECTION H3</b>
<input type="checkbox"/>	Limited capacity for work element, or limited capacity for work and work-related capacity element – detailed on a <b>Universal Credit Award notice</b>	<b>GO TO SECTION H3</b>
<input type="checkbox"/>	Entitlement to a disability living allowance – detailed on an official <b>proof of benefit award notice (not detailed on UC award notice)</b>	<b>GO TO SECTION H3</b>
<input type="checkbox"/>	A benefit recipient receives a personal independence payment – detailed on an official <b>proof of benefit award notice (not detailed on UC award notice)</b>	<b>GO TO SECTION H3</b>
<input type="checkbox"/>	None of the above have been seen	<b>GO TO SECTION J</b>

**H3. Is the document sighted in section H3 dated more than 18 months before the date of completion of the measure? (Select one)**

<b>TICK ONE</b>	<b>Answer</b>	<b>Next steps</b>
<input type="checkbox"/>	Yes	<b>GO TO SECTION H4</b>
<input type="checkbox"/>	No	<b>GO TO SECTION K</b>

**H4. I have seen the following document confirming continued receipt of eligibility criteria detailed in Section H3 on the consumer's documentation, dated within 18 months of completion of the measure: (select at least one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	An official HMRC or DWP/Jobcentre Plus 'proof of benefit' letter		<b>GO TO SECTION H4</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name) _____		<b>GO TO SECTION H4</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION J</b>

**SECTION I – NO RESPONSE**

**Where there has been no response from the consumer to any attempted communication from the monitoring agent, the measure should be recorded as a 'no response'. Please complete the details in the following box.**

<b>Unable to contact consumer</b>		
<b>No. of attempts</b>	<b>Methods of contact attempts</b>	<b>NEXT STEPS</b>
		<b>GO TO SECTION L</b>

**SECTION J – FAIL**

**Where you have been unable to sight documents to verify that a person is in receipt of the eligible AWG benefits, the measure should be recorded as a fail. Please complete the details in the following box.**

<b>Unable to sight documents</b>			
<b>Reason? (tick all that apply)</b>		<b>Comments</b>	<b>NEXT STEPS</b>
• Householder unable to produce the relevant documents	<input type="checkbox"/>		<b>GO TO SECTION L</b>
• Householder unwilling to produce the relevant documents	<input type="checkbox"/>		
• Householder documents do not give the required information (i.e. income)	<input type="checkbox"/>		
• Other (PLEASE SPECIFY)	<input type="checkbox"/>		

**SECTION K – MONITORING REQUIREMENTS MET**

Where you have been able to sight documents to verify that a person is in receipt of the eligible AWG benefits, the measure should be recorded as a pass. Please complete the details in the following box.

	Monitoring result	NEXT STEPS
<input type="checkbox"/>	Pass	GO TO SECTION L

**SECTION L - MONITORING AGENT SIGNATURE**

By signing this checklist, I acknowledge all information provided to be correct.

MONITORING AGENT INFORMATION
Agent Company/Ref: Agent Name (BLOCK CAPITALS): Agent Signature: Date:

## Annex D: Schedule 1: Affordable Warmth Group Eligibility to The Electricity and Gas (Energy Companies Obligation) Order 2012

**1.** The benefits referred to in the definition of affordable warmth group in article 2 are:

- a) child tax credit<sup>(a)</sup> and has a relevant income of £15,860 or less (where “relevant income” has the same meaning as in Part 1 of the Tax Credits Act 2002<sup>(b)</sup>);
- b) income-related employment and support allowance<sup>(c)</sup> and:
  - i. receiving a work-related activity or support component; or
  - ii. is responsible for a qualifying child; or
  - iii. is in receipt of a qualifying component;
- c) income-based job seeker’s allowance<sup>(d)</sup> and:
  - i. is responsible for a qualifying child; or
  - ii. is in receipt of a qualifying component;
- d) income support<sup>(e)</sup> and:
  - i. is responsible for a qualifying child; or
  - ii. is in receipt of a qualifying component; or
- e) state pension credit<sup>(a)</sup>;
- f) working tax credit and has a relevant income of £15,860 or less and:
  - i. is responsible for a qualifying child; or
  - ii. is in receipt of a disabled worker element or severe disability element; or
  - iii. is aged 60 years or over.
- g) universal credit<sup>16</sup> and receives a net monthly earned income of £1,167 or less in an assessment period and—
  - (i) is responsible for a child or qualifying young person; or
  - (ii) has limited capability for work, or limited capability for work and work-related activity; or
  - (iii) is in receipt of a disability living allowance; or
  - (iv) is in receipt of a personal independence payment.

**2.** In paragraph 1:

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<sup>16</sup> Universal Credit is provided for in Part 1 of the Welfare Reform Act 2012 (c.5).

- a)** “qualifying child” means, in relation to a person in receipt of an allowance, income support or working tax credit, a child who ordinarily resides with that person and who:
- i. is under the age of 16; or
  - ii. is 16 or over but under the age of 20 and in full-time education (other than higher education within the meaning of section 579(1) of the Education Act 1996**(b)**);
- b)** “qualifying component” means:
- i. child tax credit which includes a disability or severe disability element;
  - ii. a disabled child premium;
  - iii. a disability premium, enhanced disability premium or severe disability premium; or
  - iv. a pensioner premium, higher pensioner premium or enhanced pensioner premium;
- c)** “parental responsibility” has the same meaning as in section 3 of the Children Act 1989(c).

**For information:**

- (a)** Child tax credit and working tax credit are provided for in Part I of the Tax Credits Act 2002 (c.21).
- (b)** 2002 (c.21).
- (c)** See Part 1 of the Welfare Reform Act 2007 (c.5).
- (d)** See section 1(1) and (4) of the Jobseekers Act 1995 (c 18).
- (e)** See section 124 of the Social Security Contributions and Benefits Act 1992 (c 4).